IAPD Report

DAWN MICHELLE GORDON

CRD# 1493904

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

User Guidance

www.adviserinfo.sec.gov

Report Summary

DAWN MICHELLE GORDON (CRD# 1493904)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/16/2024
IA	LPL FINANCIAL LLC	CRD# 6413	05/16/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	LAS VEGAS, NV	02/23/2011 - 05/16/2024
B	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	LAS VEGAS, NV	09/09/1996 - 05/16/2024
IA	DAWN GORDON FINANCIAL ADVISORS	123813	LAS VEGAS, NV	05/13/1997 - 04/06/2011

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **23** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/16/2024
B	FINRA	General Securities Representative	Approved	05/16/2024
B	Alabama	Agent	Approved	05/21/2024
B	Arizona	Agent	Approved	05/16/2024
B	California	Agent	Approved	05/16/2024
B	Colorado	Agent	Approved	05/16/2024
B	Connecticut	Agent	Approved	05/16/2024
B	Florida	Agent	Approved	05/16/2024
B	Hawaii	Agent	Approved	09/03/2024
B	Idaho	Agent	Approved	05/16/2024
B	Indiana	Agent	Approved	12/08/2025
B	Minnesota	Agent	Approved	05/16/2024
B	Missouri	Agent	Approved	05/16/2024

Qualifications

	Regulator	Registration	Status	Date
B	Nebraska	Agent	Approved	09/20/2024
B	Nevada	Agent	Approved	05/20/2024
IA	Nevada	Investment Adviser Representative	Approved	05/20/2024
B	New Mexico	Agent	Approved	05/16/2024
B	North Carolina	Agent	Approved	05/16/2024
B	Oklahoma	Agent	Approved	05/16/2024
B	Oregon	Agent	Approved	05/21/2024
B	Tennessee	Agent	Approved	09/18/2024
B	Texas	Agent	Approved	05/16/2024
IA	Texas	Investment Adviser Representative	Approved	05/16/2024
B	Utah	Agent	Approved	05/16/2024
B	Virginia	Agent	Approved	05/16/2024
B	Washington	Agent	Approved	05/16/2024
B	Wisconsin	Agent	Approved	05/16/2024

Branch Office Locations

LPL FINANCIAL LLC
628 S 10TH ST
LAS VEGAS, NV 89101

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	05/11/2001

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/17/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/04/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/07/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/23/2011 - 05/16/2024	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	LAS VEGAS, NV
B	09/09/1996 - 05/16/2024	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	LAS VEGAS, NV
IA	05/13/1997 - 04/06/2011	DAWN GORDON FINANCIAL ADVISORS	CRD# 123813	LAS VEGAS, NV
B	05/23/1986 - 09/05/1996	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2024 - Present	LPL Financial LLC	REGISTERED REPRESENTATIVE	Y	Las Vegas, NV, United States
07/2008 - 05/2024	LINCOLN FINANCIAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	LAS VEGAS, NV, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1) 04/30/2024 - Max Too LLC - Business Entity For Tax/Investment Purposes Only - Rental income - NV 89101 - Non investment related - 2 Hours per month - Start date: 04/06/2006.
2) 04/30/2024 - Real Estate Rental - owner - NV 89120 - Investment related - 2 Hours per month - Start date: 06/01/2009.
3) 04/30/2024 - James Brown - Real Estate Rental - owner - NV 89139 - Investment related - Start date: 04/24/2024.
4) 04/30/2024 - Dawn Gordon Financial Advisors - DBA for LPL Business (entity for LPL business) - Investment related - At reported business location(s) - 20 Hours per month.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NEVADA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	06/30/2010
Docket/Case Number:	CI09-157
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	LINCOLN FINANCIAL SECURITIES CORPORATION
Product Type:	No Product
Allegations:	RESPONDENT FAILED TO AS A SALES REPRESENTATIVE TO FOLLOW THE FIRM'S POLICIES AND PROCEDURES WITH RESPECT TO OBTAINING APPROVAL FOR A SEMINAR THAT SHE HELD
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/08/2010

Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$2,500.00
Portion Levied against individual:	$2,500.00
Payment Plan:	NO
Is Payment Plan Current:	Yes
Date Paid by individual:	06/30/2010
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING THE STATEMENT OF FACTS AND CONCLUSIONS OF LAW CONTAINED IN THIS ORDER, RESPONDENT CONSENTED TO THE ENTRY OF THIS ORDER

Reporting Source:	Individual
Regulatory Action Initiated By:	NEVADA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	06/30/2010
Docket/Case Number:	C109-157
Employing firm when activity occurred which led to the regulatory action:	LINCOLN FINANCIAL SECURITIES CORPORATION
Product Type:	No Product
Allegations:	RESPONDENT FAILED TO AS A SALES REPRESENTATIVE TO FOLLOW THE FIRM'S POLICIES AND PROCEDURES WITH RESPECT TO OBTAINING APPROVAL FOR SEMINAR THAT SHE HELD
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/08/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:	$2,500.00
Portion Levied against individual:	$2,500.00
Payment Plan:	NO
Is Payment Plan Current:	Yes
Date Paid by individual:	06/30/2010
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WITHOUT ADMITTING THE STATEMENT OF FACTS AND CONCLUSIONS OF LAW CONTAINED IN THIS ORDER, RESPONDENT CONSENTED TO THE ENTRY OF THIS ORDER. DURING A ROUTINE INSPECTION BY THE SECURITIES DIVISION OF THE NV SECRETARY OF STATE (THE "DIVISION"), IT WAS DISCOVERED THAT MY OFFICE HAD AN ISOLATED EVENT IN WHICH PRE-APPROVED FOR SEMINAR MATERIALS (A TECHNICAL VIOLATION PER THE DIVISION) HAD NOT BEEN OBTAINED PRIOR TO CONDUCTING THE SEMINAR. MY OFFICE SUBMITTED THE SEMINAR MATERIALS IN ADVANCE OF THE SEMINAR FOR APPROVAL BY THE BD. MY OFFICE HAD ROUTINELY OBTAINED APPROVAL FOR SIMILAR SEMINARS SUBMITTED IN ADVANCE TO IT BEING CONDUCTED SINCE 1997 AND HAD ALL REASON TO BELIEVE FULL APPROVAL WOULD BE GRANTED. WE HAVE HISTORY WITH THE BD SINCE 1997 OF SUBMITTED AND GRANTED APPROVAL FOR SEMINAR MATERIALS IN A TIMELY MANNER. I AGREED TO AN ADMINISTRATIVE CONSENT ORDER TO AVOID THE COST, EXPENCE AND RISK OF FURTHER ADMINISTRATIVE PROCEEDINGS. I AM HAPPY TO CLARIFY ANY FURTHER QUESTIONS YOU MAY HAVE REGARDING THIS MATTER.

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LINCOLN FINANCIAL SECURITIES CORPORATION
Allegations:	CLAIMANT ALLEGES THE REPRESENTATIVE MADE MATERIAL OMISSIONS AND MISREPRESENTATIONS PERTAINING TO TWO VARIABLE ANNUITY CONTRACTS AND MUTUAL FUNDS SOLD IN JUNE 2007.
Product Type:	Annuity-Variable Mutual Fund
Alleged Damages:	$215,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-00127
Date Notice/Process Served:	01/28/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/22/2010
Monetary Compensation Amount:	$218,672.00
Individual Contribution Amount:	$0.00
Broker Statement	THE ARBITRATION WAS DISMISSED DUE TO AN ADMINISTRATIVE CONSENT ORDER FROM THE SECURITIES DIVISION OF THE NEVADA SECRETARY OF STATE (THE "DIVISION") TO THE BROKER/DEALER. THE BROKER/DEALER RECEIVED ACCEPTANCE OF THE OFFER OF RESTITUTION FROM THE CLAIMANT ON 7/22/10. NOTIFICATION THAT THE DISMISSAL OF THE ARBITRATION WAS SUBSEQUENTLY RECEIVED.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JEFFERSON PILOT SECURITIES
Allegations:	CLIENT ALLEGES THAT THE REPRESENTATIVE MISREPRESENTED THE VARIABLE UNIVERSAL LIFE INSURANCE PRODUCT.

Product Type: Other

Other Product Type(s): VARIABLE UNIVERSAL LIFE INSURANCE

Alleged Damages: $36,311.84

Customer Complaint Information

Date Complaint Received: 01/28/2003

Complaint Pending? No

Status: Denied

Status Date: 03/22/2004

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: JEFFERSON PILOT SECURITIES CORPORATION

Allegations: CLIENT IS COMPLAINING ABOUT MUTUAL FUND PERFORMANCE AND ALLEGES THAT SOME OF THE FUNDS MAY NOT BE SUITABLE. ALLEGED COMPENSATORY DAMAGE AMOUNT WAS NOT SPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages: $0.00

Customer Complaint Information

Date Complaint Received: 09/10/2001

Complaint Pending? No

Status: Denied

Status Date: 05/03/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLIENT WAS SENT A DENIAL LETTER ON NOVEMBER 2, 2001.

End of Report

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